



# UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/076,181	02/12/2002	Hal Hildebrand	SSL1P002/SS-005	8962

22830 7590 04/29/2005

CARR & FERRELL LLP  
2200 GENG ROAD  
PALO ALTO, CA 94303

EXAMINER
----------

MARTIN, NICHOLAS A

ART UNIT	PAPER NUMBER
----------	--------------

2154

DATE MAILED: 04/29/2005

Please find below and/or attached an Office communication concerning this application or proceeding.

## Office Action Summary

Application No.

10/076,181

Applicant(s)

HILDEBRAND ET AL.

Examiner

Nicholas Martin

Art Unit

2154

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --  
Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) ☒ Responsive to communication(s) filed on 12 February 2002.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

- 4) ☒ Claim(s) 1-20 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-20 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 12 February 2002 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
  - ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- \* See the attached detailed Office action for a list of the certified copies not received.

### Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☒ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)  
Paper No(s)/Mail Date 2/21/03 - 10/22/03.
- 4) ☐ Interview Summary (PTO-413)  
Paper No(s)/Mail Date. \_\_\_\_\_.
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other: \_\_\_\_\_.

1. Claims 1-20 are presented for examination.

***Claim Objections***

2. Claim 16 is objected to because it claims dependency to itself, which is deemed a typographical error. It is assumed to be dependent upon claim 13 and will be referenced so for the remainder of the examination.

Appropriate correction is required.

***Claim Rejections - 35 USC § 112***

The following is a quotation of the second paragraph of 35 U.S.C. 112:

The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

3. Claims 5-7 are rejected under 35 U.S.C. 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which applicant regards as the invention. See MPEP § 7.34.01.

4. Regarding claims 5-7, the phrases "can" and "can be" render the claims indefinite because it is unclear whether the limitations following the phrase are part of the claimed invention. See MPEP § 2173.05(d).

***Claim Rejections - 35 USC § 103***

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

Art Unit: 2154

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

5. Claims 1-20 are rejected under 35 U.S.C. 103(a) as being unpatentable over Garrison, Greg B. (hereinafter Garrison), US 6,336,114, in view of Yamamoto et al. (hereinafter Yamamoto), US 2001/0044903.

6. As per claim 1, Garrison teaches a distributed access control system that restricts access to secured items, said system comprising:

local server(s) including a local module that provides local access control (Col. 3, lines 66-67; Col. 4, lines 1-9; Col. 7, lines 31-42; Col. 8, lines 40-51).

wherein the access control, performed by said central server or said local servers, operates to permit or deny access requests to the secured items by requestors (Col. 3, lines 66-67; Col. 7, lines 31-42; Col. 8, lines 40-51).

7. Garrison does not teach a system comprising:

a central server having a server module that provides overall access control; and  
a plurality of local servers.

8. Yamamoto teaches a distributed access control system comprising:

a central server having a server module that provides overall access control (Paragraphs [0083], [0086], [0092], [0096] and [0100]); and  
a plurality of local servers (Paragraphs [0080] and [0095-0096]).

9. It would have been obvious to one of ordinary skill in the art at the time of the invention to combine the teachings of Yamamoto and Garrison because they both deal

Art Unit: 2154

with providing and restricting access to data over a communication network.

Furthermore, the teaching of Yamamoto to allow a central server having a server module that provides overall access control and a plurality of local servers would improve the functionality of Garrison's system by allocating a central server to authorize and grant access to the overall network therefore increasing security and protecting digital assets of the network.

10. As per claim 2, Garrison teaches a distributed access control system as recited in claim 1, wherein said access control system restricts access to the secured files stored in a data storage device (Col. 3, lines 22-29; Col. 11, lines 27-42).

11. Garrison does not teach a distributed access control system coupled to an enterprise network.

12. Yamamoto teaches a distributed access control system coupled to an enterprise network (Paragraphs [0002], [0074] and [0114]).

13. It would have been obvious to one of ordinary skill in the art at the time of the invention to combine the teachings of Yamamoto and Garrison because they both deal with providing and restricting access to data over a communication network.

Furthermore, the teaching of Yamamoto to allow wherein a distributed access control system is coupled to an enterprise network would improve the functionality of Garrison's system by increasing the amount of information that can be shared and accessed thus increasing the influx of data retrieval capability.

14. As per claim 3, Garrison teaches a distributed access control system as recited in claim 2, wherein the access requests are at least primarily processed by said local servers (Col. 7, lines 31-42; Col. 8, lines 40-51).

15. As per claim 4, Garrison teaches a distributed access control system as recited in claim 3, wherein when the access requests are processed said local servers, the requesters gain access to the secured files without having to access said central server (Col. 7, lines 31-42; Col. 8, lines 40-51).

16. As per claim 5, Garrison teaches a distributed access control system as recited in claim 2, wherein the local modules can operate independent of said central server and other said local servers (Col. 7, lines 14-24, lines 31-42, lines 43-64).

17. Garrison does not teach a system wherein copying to the local server in reference to the central server (Paragraph [0097]).

18. It would have been obvious to one of ordinary skill in the art at the time of the invention to combine the teachings of Yamamoto and Garrison because they both deal with providing and restricting access to data over a communication network.

Furthermore, the teaching of Yamamoto to allow wherein copying to the local server in reference to the central server would improve the functionality of Garrison's system by updating the privileges that a local server grants access to its data storage by implementing the central servers (entire networks) access scheme which would maintain a consistent security barrier if the central server is down or the connection is not available.

19. As per claim 6, Garrison teaches a distributed access control system as recited in claim 2, wherein the local module can be a subset of the server module (Col. 7, lines 14-24, lines 43-67; Col. 8, lines 1-6).

20. As per claim 7, Garrison teaches a distributed access control system as recited in claim 2, wherein access permissions for said local servers can be dynamically configured to pass a requester from one of said local servers to another of said local servers, thereby enabling access control to be performed by the another of said local servers such as when the location of the requestor changes (Col. 8, lines 10-51).

21. As per claim 8, Garrison teaches a distributed access control system as recited in claim 2, wherein the secured items are secured files (Abstract, Col. 6, lines 557-66).

22. As per claim 9, Garrison teaches a distributed access control system as recited in claim 2, wherein the secured items are secured by encryption (Col. 6, lines 43-66).

23. As per claim 10, Garrison teaches a method for providing access management through use of a plurality of server machines associated with different locations, said method comprising the acts of:

(a) authenticating a user with a first server machine of the plurality of server machines with respect to a prior access request (Col. 7, lines 31-42);

(b) subsequently receiving a current access request to access a secured item via a second server machine of the plurality of server machines (Col. 8, lines 10-60);

(c) reconfiguring the first server machine to prevent further access by the user to secured items via the first server machine (Col. 12, lines 16-46); and

(d) reconfiguring the second server machine to permit access by the user to at least the secured item via the second server machine (Col. 8, lines 10-51).

24. As per claim 11, Garrison teaches a method as recited in claim 10, wherein said authenticating (a) authenticates both the user and a client machine being used by the user (Col. 7, lines 31-42).

25. As per claim 12, Garrison teaches a method as recited in claim 10, wherein the first server machine and the second server machine are access points for the user to gain access to secured items (Col. 7, lines 31-42; Col. 8, lines 10-51).

26. As per claim 13, Garrison teaches a method as recited in claim 10, wherein when the user is at a first location, the user interacts over a network with the first server machine using a first client machine as the first location (Fig. 1; Col. 3, lines 9-14; Col. 4, lines 18-22; Col. 7, lines 31-42; Col. 13, lines 49-50).

wherein the user interacts over a network with the second server machine ((Fig. 1; Col. 3, lines 9-14; Col. 4, lines 18-22; Col. 7, lines 31-42; Col. 8, lines 10-61; Col. 13, lines 49-50).

27. Garrison does not teach a method wherein when the user is at a second location, the user interacts using a second client machine at the second location.

28. Yamamoto teaches a method wherein when the user is at a second location, the user interacts using a second client machine at the second location (Paragraphs [0095-0096] and [0188]).

29. It would have been obvious to one of ordinary skill in the art at the time of the invention to combine the teachings of Yamamoto and Garrison because they both deal



with providing and restricting access to data over a communication network.

Furthermore, the teaching of Yamamoto to allow wherein when the user is at a second location, the user interacts using a second client machine at the second location would improve the functionality and security of Garrison's system by allocating another set of privileges and access rights per the digital assets for each individual client connecting to the network.

30. As per claim 14, Garrison teaches a method as recited in claim 13, wherein said method further comprises at least the acts of:

(f) determining, prior to said reconfiguring (c) or (d), whether the user is permitted to gain access from a second location to secured items via the second server machine (Col. 8, lines 10-61).

31. As per claim 15, Garrison teaches a method as recited in claim 13, wherein said authenticating (a) of the user occurs while the user is at a first location (Fig. 1; Col. 3, lines 9-14; Col. 4, lines 18-22; Col. 7, lines 31-42; Col. 13, lines 49-50), and wherein said receiving (a) of the access request to access the secured item (Col. 8, lines 10-61).

32. Garrison does not teach a method wherein the user can access information at a second location.

33. Yamamoto teaches a method wherein a user can access information at a second location (Paragraphs [0095-0096] and [0188]).

34. It would have been obvious to one of ordinary skill in the art at the time of the invention to combine the teachings of Yamamoto and Garrison because they both deal with providing and restricting access to data over a communication network.

Furthermore, the teaching of Yamamoto to allow wherein a user can access information at a second location would improve the functionality of Garrison's system by expanding the network and availability of digital assets that can be shared or accessed, thus increasing the influx of data retrieval capability.

35. As per claim 16, Garrison does not explicitly teach the method as reciting in claim 13, wherein said method further comprises at least the acts of:

- (e) determining permitted locations from which the user is permitted to gain access to secured documents;

- (f) determining whether the second location is one of the permitted locations for the user; and

- (g) bypassing said reconfiguring (c) or (d) when said determining (f) determines that the second location is not one of the permitted locations for the user.

36. Yamamoto teaches a method wherein said method comprises acts of:

- (e) determining permitted locations from which the user is permitted to gain access to secured documents (Paragraphs [0002], [0032], [0074] and [0109]);

- (f) determining whether the second location is one of the permitted locations for the user (Paragraph [0109; page 10, claim 1); and

- (g) bypassing said reconfiguring (c) or (d) when said determining (f) determines that the second location is not one of the permitted locations for the user (Paragraph [0109]).

37. It would have been obvious to one of ordinary skill in the art at the time of the invention to combine the teachings of Yamamoto and Garrison because they both deal

Art Unit: 2154

with providing and restricting access to data over a communication network.

Furthermore, the teaching of Yamamoto to allow (e) determining permitted locations from which the user is permitted to gain access to secured documents; (f) determining whether the second location is one of the permitted locations for the user; and (g) bypassing said reconfiguring (c) or (d) when said determining (f) determines that the second location is not one of the permitted locations for the user would improve the functionality and security of Garrison's system by determining the access privileges pertaining the each user and their subsequent location so that the digital assets can be accessed and maintained securely.

38. Claim 17 does not teach or define any new limitations above claim 13 and therefore is rejected for similar reasons.

39. Claim 18 does not teach or define any new limitations above claim 10 and therefore is rejected for similar reasons.

40. Claims 19-20 do not teach or define any new limitations above claims 13-14 and therefore are rejected for similar reasons.

***Conclusion***

The prior art made of record and not relied upon is considered pertinent to applicant's disclosure. The following patents and publications are cited to further show the state of the art with respect to "System And Method For Providing Distributed Access Control To Secured Items".

- |      |                 |                   |
|------|-----------------|-------------------|
| i.   | US 6,442,695    | Dutcher et al.    |
| ii.  | US 2002/0042756 | Kumar et al.      |
| iii. | US 2005/0021467 | Franzdonk, Robert |
| iv.  | US 2002/0069272 | Kim et al.        |

A shortened statutory period for reply to this Office action is set to expire in THREE MONTHS from the mailing date of this action.

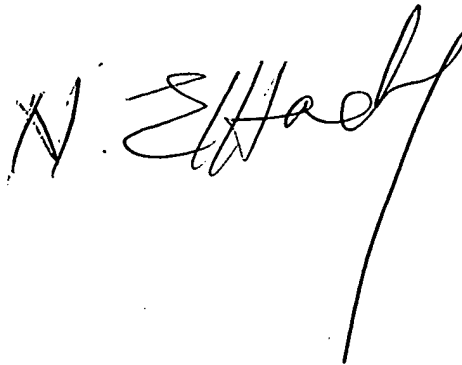
Any inquiry concerning this communication or earlier communications from the examiner should be directed to Nicholas Martin whose telephone number is (571) 272-3970. The examiner can normally be reached on Monday - Friday 8:30 a.m. - 5:30 p.m..

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, John A. Follansbee can be reached on (571) 272-3964. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

Art Unit: 2154

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

Nicholas Martin  
Art Unit 2154  
April 25, 2005

A handwritten signature in black ink, appearing to read "N. E. Hardy", with a long vertical line extending downwards from the end of the signature.